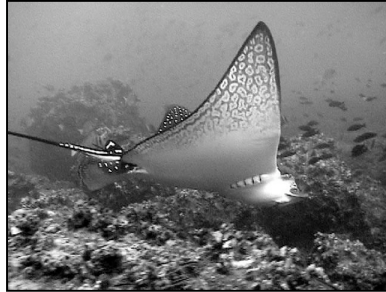


MPA MANAGEMENT PLANNING, PART 2

MODULE 2



2.1 PROGRAM DESIGN & PLANNING PROCESSES

Managing for success

What is a planning process?

Four steps of developing a planning process

Benefits & limitations of planning processes

Case study: NOAA management plans

2.2 FROM PLANNING PROCESSES TO SITE PLANS

Preparing to write a site plan

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2.3 PROGRAM EVALUATION

Introduction to evaluation

The evaluation continuum

“SMART” objectives

Indicators

2.4 THE EVALUATION PROCESS

Overview of the Management Effectiveness Initiative & MPA guidebook

Exercise: Developing an evaluation plan

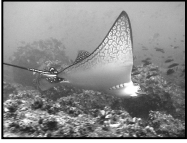
2.5 LINKING TO SITE PLANS

Linking performance measures and planning processes to site plans

Acknowledgements

The material in this module was derived from:

NOAA Coastal Services Center's "MPA Management Planning for Effectiveness" manual and from the "How is Your MPA Doing?" guidebook.



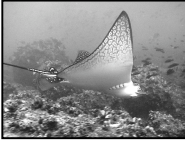
OVERVIEW

The planning process is crucial in the success development of the overall management plan. This module will go through the planning process, step by step and lead to the development of a site plan.

Together, modules 1 and 2 are designed to help participants develop skills and facility with the tools and processes of management planning, including strategic planning, planning process, performance indicators, and effectiveness evaluation. Today's module, module 2, concentrates on planning processes and their relationship to site plans. All information developed today should draw on the front-end assessment that was completed yesterday.

LEARNING OBJECTIVES

- ✓ Understand the process for management plan development and why it is useful
- ✓ Learn the components of a planning process and how it relates to site plans
- ✓ Practice development of a planning process and a site plan for a real MPA
- ✓ Understand the connection from goals/objectives to measurable performance indicators
- ✓ Learn the steps involved in developing an MPA evaluation plan
- ✓ Gain practice and experience creating a full management plan for a real MPA



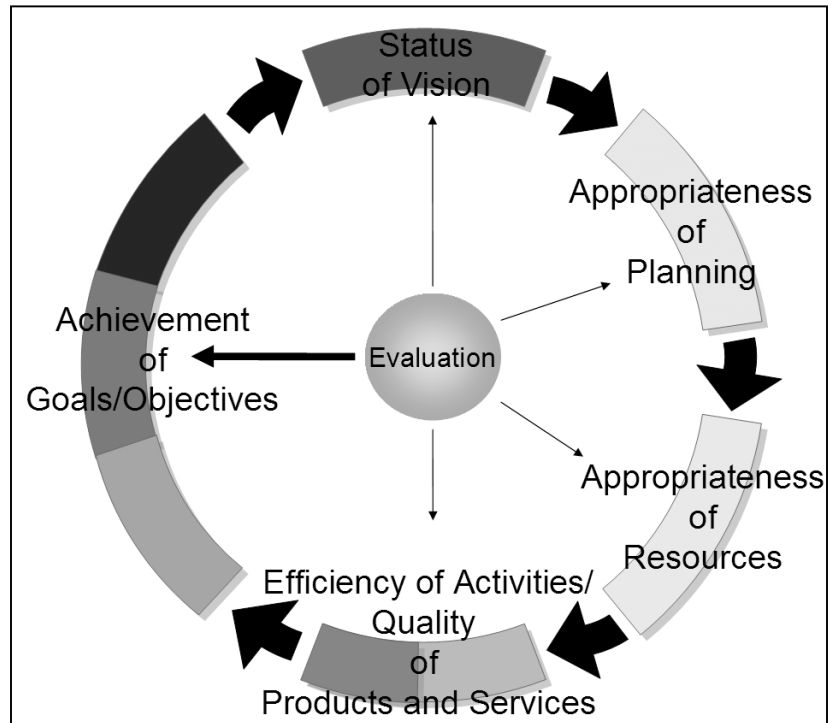
LESSON PLAN

Review of Previous Module

The instructor will review the important concepts of day 1.

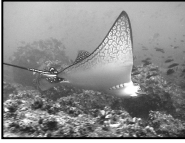
2.1 PROGRAM DESIGN & PLANNING PROCESSES

Managing for Success



Based on the information generated during the front-end assessment, it is now time to articulate strategic goals and outcomes for the MPA site. This diagram represents the adaptive management cycle, which allows for feedback at each level in the dynamic process. This allows the manager to respond to uncertainty and natural variations by changing management activities to better address the desired outcomes. Once initial outcomes are achieved, it encourages planning for the next outcomes based on successes or failures of the original outcomes.

It is during the planning process when desired outcomes, activities, and resources are identified. Evaluation will be based on the availability of the resources, the efficiency and appropriateness of the activities or management strategies selected, and if and why the desired outcomes are achieved.



What is a Planning Process?

A planning process is a flow diagram of a program with defined goals, inputs, outputs, and outcomes, connected through causal links. It provides a visual depiction of what outcomes a program will produce, and how it will produce them.

Planning processes are also called “logic models.”

Components of Planning Processes:

1. External influences

Long-Term Outcomes – describe the intended ultimate impacts or objectives of the program on the issues. They might be social, economic, environmental, or individual consequences.

Mid-Term Outcomes – describe expected impacts on the environment or audience’s behavior based on the continuation of the program or a number of projects.

Short-Term Outcomes – describe the expected immediate impacts of the program or project (audience reactions or abilities, change in the environment).

2. Internal influences

Outputs – physical products resulting from activities needed to achieve the desired outcomes.

Activities – what you spend your time doing in order to achieve the desired outcomes, produce the necessary outputs, or obtain resources.

Resources – the time, money, human resources, office space, utilities, equipment, supplies, management and partner support, etc. needed to accomplish the program.

Four Steps of Developing a Planning Process

Handout 2.1 - Project Planning Process Worksheet

Exercise: Practicing the four steps of a planning process

As the instructor describes the four steps of developing a planning process, follow along on your planning process worksheet. Fill in the outcomes, activities, and outputs on the worksheet and assess the resulting process. The instructor will guide you through this process.

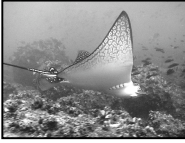
STEP 1: What are the desired impacts (outcomes)?

Identify the impacts (outcomes) of the project on the intended audience and/or issues (as long-, mid- and short-term outcomes).

- What is the final or ultimate impact you want your program to have? This is the long-term outcome.
- What is the logical progression of changes that need to occur to the audience and the issue to reach this? These are short-term and mid-term outcomes.

Write your short-, mid-, and long-term outcomes on the right side of the planning process.

By identifying the expected project outcomes first, the project can be designed more efficiently. Any activities or outputs that do not contribute to achieving those outcomes should not be done.



STEP 2: What activities and outputs contribute to achieving those outcomes?

- What are the most effective activities, techniques, information, or other tools that will help move the audience or resource from its current state to the desired state (the expected outcome)?

To the left of your outcomes, list the activities and outputs that will support achievement of those outcomes. Make sure each of the activities and outputs support or lead to a desired outcome.

STEP 3: List the resources needed and/or available

Consider the resources needed to achieve the desired impact.

- Which of these are available, and which are not? Is it possible to obtain the missing resources? (If not, return to Step 1.)

To the left of your activities and outputs, list the resources needed or available to undertake the project. Ask yourself if the resources you have listed are sufficient to achieve the desired outcomes? If not, can you obtain the resources you need to achieve the outcomes? How? If you do not have or cannot obtain the necessary resources, amend the objectives to be realistic.

STEP 4: Read the model

Read the planning process diagram from left-to-right as a series of “If . . . then . . .” statements.

- Do the statements make sense when read left to right?
- Are these statements logical? Can you make logical connections between each activity and output, and an intended outcome?
- Do the outcomes reflect your objectives?
- Are sufficient resources available to achieve the objectives?

If you answer *NO* to any of these questions, review the planning process, determine what is not logical, and revise as needed.

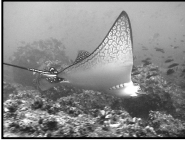
Exercise: Developing a full planning process

Work in pairs to construct a planning process for a project they are working on. Pairs exchange and critique each other's planning processes. When you have finished working with your partner please discuss your planning process with the group.

Benefits & Limitations of Planning Processes

Benefits of planning process:

- Shows how all the components fit together
- Helps individuals see how they contribute to the mission of the group
- Helps connect how resources are used and impacts from their use
- Helps identify appropriate indicators of performance effectiveness
- Basis of planning, evaluation, and management decisions



Limitations of planning process:

Some issues to watch out for when you are making a planning process diagram:

- Do not become overly concerned with the language
- Do not forget the connections. They are what make the process logical.
- Remember that planning processes are not the same thing as evaluation
- Do not confuse a planning process and performance measures with evaluation
- Do not view the process as completely linear
- Do not mix scales (different level of detail at different levels of organization)
- Do not use the planning process solely as an activity that will not produce results
- The planning process is not a panacea (or ultimate solution)

Case study: NOAA Management Plans

The presenter will discuss several case studies.

2.2 FROM PLANNING PROCESSES TO SITE PLANS

Preparing to Write a Site Plan

Several management process and sources of information are required before a site plan can be written:

- Drivers
- Baseline information
- Niche
- System-wide plan
- Score card

It is helpful to follow a standard *site plan content outline*. This describes what is included and what will be part of the planning process.

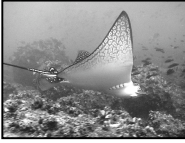
Common Pitfalls of Site Planning

Most strategic/site plans have one or more of the following flaws:

- Goals and actions are too broad
- Have many priorities or no priorities
- Do not incorporate resources required to complete actions
- Focus only on the biophysical goals related to biological processes
- Are unable to assess “success” of efforts

Exercise: Create a site-level planning process for your MPA

1. We will first review and discuss the necessary program design skills.
2. Then, focus on your own MPA and identify your desired outcomes in biophysical, socioeconomic, and governance categories.
3. Discuss with your neighbors and with the facilitators the most effective and efficient means to reach your identified outcomes, and create a planning process accordingly. Focus on strong causal links between the elements in your planning process.



2.3 INTRODUCTION TO PROGRAM EVALUATION

Exercise: How are you evaluating your progress?

Group discussion on the following questions:

- *Are you making progress on your goals?*
- *Are you monitoring your progress?*
- *Would your MPA benefit from a more formal evaluation process?*
-

Introduction to Evaluation

Evaluation is the process that allows us to determine why we are being effective in progressing toward our goals and desired outcomes. Evaluation can be formally described as the systematic collection of information about activities, characteristics, and outcomes of programs to make judgments about the program, improve effectiveness, and/or inform decisions about future programming (adapted from Patton, 1997).

Why evaluate?

In order to more efficiently allocate limited resources, managers need to evaluate both individual projects and overall program efforts to determine their impacts. Managers frequently rely on anecdotal evidence to support their effectiveness, but efforts to more accurately and meaningfully measure project impacts on marine resources and resource users are increasing. Evaluating effectiveness is desirable for:

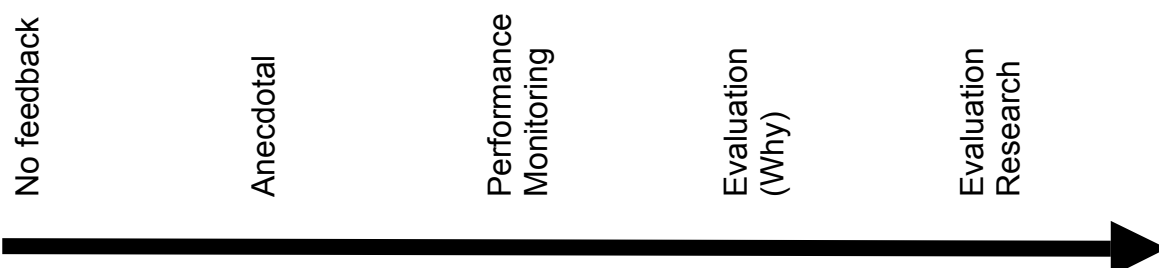
- Promoting adaptive management
- Improving project planning
- Promoting accountability

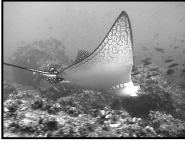
Benefits to you:

- Make your job easier
- Show program impacts
- Your program is evaluated on what YOU determine is important

The Evaluation Continuum

There are a large variety of methods of evaluation, from no evaluation at all, to rigorously planned evaluation research:





Discussion: Current evaluation processes

At what level are you currently evaluating your programs?

“SMART” Objectives

Recall from yesterday's module that an outcome or goal is a broad statement of what the MPA is trying to achieve. A goal is a qualitative or non-measurable outcome that is simple to understand and communicate. An objective is a specific measurable statement of what must be accomplished to achieve a specific goal. When writing objectives as part of a planning or evaluation process, objectives should be as detailed and specific as possible.

Outcomes must be measurable. A measurable outcome is a “smart objective.” SMART stands for (in English):

Specific
Measurable
Audience or issue focused
Reasonable
Timely

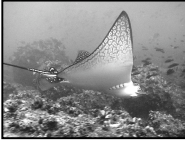
Planning process models provide an easy starting point for the selection of meaningful and realistic indicators to monitor effectiveness, because you must understand the overall program logic in order to identify what needs to be measured.

Exercise: “SMART” goals and objectives

Use your site-level outcomes to write “SMART” goals and objectives for each outcome. Focus on biophysical, socioeconomic, and governance categories. (These goals and objectives will be used in the next section.)

Indicators

A key component of the evaluation process is the selection and ongoing measurement of indicators. An indicator is any observable or measurable variable that can provide feedback on whether the existing management plan is having the desired results. Indicators can document changes occurring in the MPA. For example, some indicators commonly used in MPA management are: fish yield, species abundance, income of fisher people, tourist satisfaction, and so on. Usually several indicators should be monitored to best gauge the overall effect of the management plan.



2.4 THE EVALUATION PROCESS

Overview of the Management Effectiveness Initiative & Guidebook

The Marine Protected Area Management Effectiveness Initiative is a collaborative, international project involving the World Wildlife Fund (WWF), the U.S. National Oceanic and Atmospheric Administration (NOAA), the World Commission on Protected Areas (WCPA-Marine), and the World Conservation Union (IUCN). In summary, many people and agencies worldwide have been working on the issue of measuring management effectiveness. Their goals and outcomes have been as follows:

Goal

- Improvement management of MPAs by providing managers, planners, and other decision-makers with methods for assessing effectiveness of MPAs

Objectives

- Develop MPA-specific indicators and a guidebook for MPA managers
- Field-test and refine indicators and guidebook
- Increase awareness and use of monitoring and evaluation in MPAs

The MPA Guidebook

One of the major objectives that was identified was the production of a guidebook for MPA managers, *“How Is Your MPA Doing?”* (Copies of this book are being distributed to all participants in this workshop). The book’s major purpose is to help MPA managers and conservation practitioners evaluate and adaptively improve the effectiveness of their MPA efforts through time.

The major audience for “How Is Your MPA Doing?” is expected to consist of managers and marine conservation practitioners. However, it is also useful for people who will be impacted by MPAs in any way or are interested in MPAs (e.g., decision-makers; local people who live near MPAs).

Framework of the Guidebook

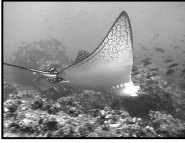
The book presents an overview of the methodology of developing planning processes and management strategies for MPAs, concentrating on three different types of goals or outcomes:

- **Biophysical**
- **Socioeconomic**
- **Governance**

Exercise: Assessing your list of site goals

Based on the long-term outcomes identified in site planning processes, you will match your site goals (developed in the previous section) to the goals provided in the guidebook, according to the 3 categories (biophysical, socioeconomic, governance.) Start by looking at how the outcomes (short/mid/long) from your site planning process could be matched to goals in the book.

- *Which of these goals are ones you are working towards?*
- *Are there any goals listed in the guidebook that you would like to add to your site-level planning process?*



- *Do you have goals/outcomes that are not addressed by the goals in the guidebook?*

Write down the guidebook goals that match up with your desired outcomes. These will be used in the next section to develop a complete evaluation process for your MPA.

A large section of the book provides detailed information on 42 example *indicators* that can be used to monitor progress toward these outcomes. Indicators are tools that can be used to evaluate whether a MPA is achieving its goals and objectives. The book also provides information on how to collect data on each of these indicators, how difficult each indicator is to measure, why it is useful, and so on. The indicators discussed include:

- 10 biophysical indicators - for example, focal species abundance, water quality, etc.
- 16 socioeconomic indicators - resource use patterns, stakeholder knowledge, etc.
- 16 governance indicators - local understanding of regulations, enforcement, etc.

Finally, the book provides a step-by-step process for evaluation:

Step 1: Selecting indicators

Step 2: Planning your evaluation

Step 3: Implementing the plan

Step 4: Sharing the results

In the remainder of today's session, you will perform these four steps to develop an evaluation plan for your MPA.

Limitations of the Guidebook

The "How Is Your MPA Doing?" book is not intended to be the most important element of MPA evaluation and management. The book is not a complete listing of all possible approaches, and in particular it:

- Assumes you have well-defined goals and objectives
- Focuses on long-term goals, but it is also important to measure progress towards short- and mid-term goals.

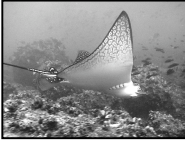
Developing an Evaluation Plan

Exercise - STEP 1: Identifying & Evaluating Potential Indicators

Now you will use the book goals to come up with a list of measurable indicators for your site. This list is not everything you will measure, but rather a list of indicators from which you can choose. Review the guidebook goals you identified as matching up with your outcomes in Part 1, and look at the indicators associated with each of these goals. Write down indicators you think might want to monitor.

Note: you may want to brainstorm additional indicators with the rest of the group if some of your outcomes are not captured by the guidebooks' goals and associated indicators.

- *Think about what are the most critical indicators for you to monitor.*
- *Think about what you are already monitoring (refer to planning process "activities")*



Discussion: Indicators

- *Are you already measuring your indicators?*
- *What is your current capacity to measure the indicators on your list?*
- *Would you customize this indicator to better suit your MPA?*
- *How useful would it be to measure those indicators?*

Handout 2.2 - Program Evaluation Worksheet

Exercise: Planning Your Evaluation

Separate into small groups with one or two indicators per group. From here you will follow the rest of the evaluation process as it is presented in the guidebook, using the book and the provided worksheets. The first step is to turn to the page where your indicator is presented and review that information before beginning the questions on the checklist. Then consider these questions:

- *Are you already measuring your indicators?*
- *What is your current capacity to measure the indicators on your list?*
- *Would you customize this indicator to better suit your MPA?*
- *How useful would it be to measure those indicators?*

2.5 LINKING TO SITE PLANS

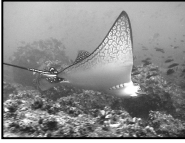
Linking Performance Measures and Planning Processes to Site Plans

Review the 10 step process of developing an effective management plan.

In the assessment phase drivers were documented, baseline information was gathered, stakeholders were identified and the program's strengths, weaknesses, opportunities and threats were analyzed. This information also helps set achievable targets for management activities to accomplish. Without this information goals could be too difficult or too easy to achieve.

In the strategic planning phase goals and objectives for the site were determined. Key activities and outputs were identified, resource requirements were also identified and the evaluation for the site plan was developed. Performance measures and evaluation can and should be monitored for the goals as well as the appropriateness and efficiency of the management strategies and activities. It is important that the activities contribute to the desired outcomes.

The writing and using phase is where you begin to monitor the indicators you have selected to determine if you are on track to meet your desired outcomes and goals. It is critical that you have a good evaluation and monitoring plan so that you can adapt your management strategies and activities if you are falling short of meeting your goals



Discussion— The Planning Process

Consider the planning process that you developed earlier.

- *Does your site-level planning process make sense?*
- *Will it help with site management plan development?*
- *Does it link to the system plan?*
- *Does your plan help you get to your identified goals and objectives?*
- *Does it get you towards a measurable site management plan?*
- *Will it help avoid pitfalls?*
- *Will it increase your chances of being able to monitor if you are being effective?*

Accountability

Evaluating effectiveness contributes to accountability. There is a need for accountability at multiple levels

- Managers want to know they're being effective, achieving their goals.
- Managers are accountable to agencies/organizations
- Managers are accountable to communities.

Exercise: Review & Discuss

Review & discuss the major topics (listed below) covered during the three modules on management planning. You will assess your understanding of each topic, what you have accomplished with your site plan, and what the next steps are for implementing the plan.

What have you learned? What more do you wish to learn in the future?

- *Do you feel you have the skills you need to manage a MPA effectively?*
- *What are the next three things that you want to do in your role as a MPA manager?*
- *Do you have the resources you need to do those three things?*
- *Do you feel you know where to go to get more information?*